




# Audit Quality Assessment Tool

This document takes you through some questions you need to answer when judging the quality of an audit report. You can use the tick boxes at the left to keep track and see which elements are adequately treated in the report. FWF will assess during the MSA's at member companies how audit reports have been evaluated and how corrective actions in the audit reports have been followed up.

Yes <input checked="" type="checkbox"/>	No <input checked="" type="checkbox"/>	Question	Explanation	Notes 
<b>1. The audited company</b>				
<input type="checkbox"/>	<input type="checkbox"/>	1.1 Are the relevant factory data (name, address, contact person, ownership, workforce (male/female), production process, production capacity, subcontractors) included? If not, write under 'notes' what's missing.	This is to avoid misunderstanding on different production units of one and the same company and to check whether production capacity matches the workforce (to check on subcontracting).	
<b>2. The audit process</b>				
<input type="checkbox"/>	<input type="checkbox"/>	2.1 Was it a team who conducted the audit?	FWF always works with teams, with members representing different backgrounds, reflecting our multistakeholder character. Furthermore like this you can bring different expertise together; i.e. a safety and health specialist, an accountant or financial specialist, a person easily accessible for (female) workers and knowledgeable on workers rights, a person understanding the dynamics of the sector and context for the factory).	
<input type="checkbox"/>	<input type="checkbox"/>	2.2 Were the auditors local people ?	FWF thinks it's important to use audit team members that are knowledgeable of the local language, local labour relations and local law and regulations in their respective fields of expertise.	
		2.3 How long did the audit process take? _____ Days	FWF takes as standard for the factory visits: 6 man days for factories with 5-25 employees, 8 man days for factories with 25-50 employees, 9,5 man days for factories with 50-500 employees, 10 man days for factories with 500-1000 employees, 13 man days for factories with over 1000 employees. This is including preparation and the writing of the report.	
<input type="checkbox"/>	<input type="checkbox"/>	2.4 Is information included on the methodology used?		
<input type="checkbox"/>	<input type="checkbox"/>	2.5 Have different sources been used to formulate conclusions:	FWF audit teams base their conclusions on management interviews, worker interviews, documents inspection and visual inspection. See detailed questions below.	
<input type="checkbox"/>	<input type="checkbox"/>	2.6 Have worker interviews been conducted inside factory premises?	Interviews with male and female workers are a central source of information. Workers are the best in place to tell about the working conditions.	
<input type="checkbox"/>	<input type="checkbox"/>	2.7 Have off site worker interviews been conducted?	Interviews with male and female workers outside the factory may provide to workers an opportunity to provide information on working conditions free of fear for negative consequences.	

<input type="checkbox"/>	<input type="checkbox"/>	2.8 Have interviews with the management been conducted?	Interviews with management and staff are important to have formal information on compliance and give extra explanations to findings if necessary.	
<input type="checkbox"/>	<input type="checkbox"/>	2.9 Was documents inspection included?	Document inspection serve especially to have the right information on employment relationship, salaries, social security premiums and working time.	
<input type="checkbox"/>	<input type="checkbox"/>	2.10 Did the auditors include an inspection of the workplace?	An inspection of the workplace and factory environment is important to check the real actual working conditions, to see whether equipments and or materials are used correctly and safety measures are being implemented.	
<b>3. Findings</b>				
<input type="checkbox"/>	<input type="checkbox"/>	3.1 Is information included on management system requirements:		
<input type="checkbox"/>	<input type="checkbox"/>	3.2 Is information included on the management system of the factory to improve labour standards?	The existence of a system or responsible person within the factory for improvements of labour standards will facilitate communication on social compliance and follow up on CAP's	
<input type="checkbox"/>	<input type="checkbox"/>	3.3 Is information included on communication and consultation with worker(s) (representatives)?	FWF requires information on the Code of Labour Practices to be provided to workers and legal requirements on consultation with worker(representative)s to be respected.	
<input type="checkbox"/>	<input type="checkbox"/>	3.4 Is information included on a grievance mechanism?	In case of problems with compliance, first step should be that this problem is discussed within the factory when possible. To facilitate this a grievance procedure, with involvement of workers representatives, has to be put in place.	
<input type="checkbox"/>	<input type="checkbox"/>	3.5 Is information included on <b>all labour standards</b> of the Code of Labour Practices:	It is important that on all code elements a conclusion is formulated even if there are no findings. Then the conclusion could be 'no non compliance'. This is to avoid ambiguity on compliance if nothing has been formulated.	
<input type="checkbox"/>	<input type="checkbox"/>	3.6 Has a conclusion been formulated on the use of forced labour?		
<input type="checkbox"/>	<input type="checkbox"/>	3.7 Has a conclusion been formulated on the existence of discrimination in employment?		
<input type="checkbox"/>	<input type="checkbox"/>	3.8 Has a conclusion been formulated on the use of child labour?		
<input type="checkbox"/>	<input type="checkbox"/>	3.9 Has a conclusion been formulated on the freedom of association and the right to collective bargaining?		
<input type="checkbox"/>	<input type="checkbox"/>	3.10 Does the report contain information on wage levels?		
<input type="checkbox"/>	<input type="checkbox"/>	3.11 Has a conclusion been formulated on the payment of legal minimum wage?		

<input type="checkbox"/>	<input type="checkbox"/>	3.12 Has a conclusion been formulated on the payment of a living wage?		
<input type="checkbox"/>	<input type="checkbox"/>	3.13 Is information included on working hours?		
<input type="checkbox"/>	<input type="checkbox"/>	3.14 Has a conclusion been included on the use of excessive working hours?		
<input type="checkbox"/>	<input type="checkbox"/>	3.15 Is information included on a safe and healthy working environment?		
<input type="checkbox"/>	<input type="checkbox"/>	3.16 Is compliance with national legislation on OSH included?		
<input type="checkbox"/>	<input type="checkbox"/>	3.17 Is compliance with national legislation on fire safety included?		
<input type="checkbox"/>	<input type="checkbox"/>	3.18 Is compliance with national legislation on construction rules/building code included?		
<input type="checkbox"/>	<input type="checkbox"/>	3.19 Is compliance with national legislation on licences included?		
<input type="checkbox"/>	<input type="checkbox"/>	3.20 Is information included on employment relationships (legally binding)?		
<b>4. Report</b>				
<input type="checkbox"/>	<input type="checkbox"/>	4.1 Is the reaction of the factory management included on the findings?	To be able to give good follow up on a report it is important to know if the factory management agrees with the findings.	
<input type="checkbox"/>	<input type="checkbox"/>	4.2 Have realistic corrective measures been suggested for the non compliance findings?	Preferably a time span has been discussed already during an exit meeting with the factory management.	
<input type="checkbox"/>	<input type="checkbox"/>	4.3 Are all conclusions supported by information found and mentioned in the report?	It has to be clear on which basis a conclusion has been formulated.	
<input type="checkbox"/>	<input type="checkbox"/>	4.4 Have the findings been compared with the general compliance in the area according to stakeholders?	With actual information from relevant stakeholders you can put the outcome of the audit in the right perspective	
<input type="checkbox"/>	<input type="checkbox"/>	4.5 Do the conclusions from the report correspond with your own experience with the factory?	If representatives of your company regularly visit the factory, it's good to compare their experiences with the outcome of the audit.	